

**11D PAM 1-201**  
**COMMAND INSPECTION CHECKLIST**

FUNCTIONAL AREA: G6	CHAPTER: 16 SECTION: C	DATE OF REVISION: 1 SEP 02	
PROPONENT/PHONE NO: G6 350-6201/7306	PROGRAM/ACTIVITY/TOPIC (PAT)  Records Management	UNIT INSPECTED/DATE:	
ITEM		GO	NO-GO
<p>A. References</p> <ol style="list-style-type: none"> <li>1. AR 25-400-2: Modern Army Record keeping System (MARKS)/ 26 Feb 93</li> <li>2. AR 340-21: The Army Privacy Program/ 5 Jul 85</li> </ol> <p>B. Discussion: The purpose of the Records Management Program is to provide for the systematic management of all records; to ensure that commanders and their staffs have the information they need to accomplish the mission, when and where they need it, and in a usable format; to safeguard the release of personnel information under the Freedom of Information Act (FOIA); to provide safeguards for all individuals against an invasion of personal privacy by Federal agencies.</p> <p>C. Specific Questions</p> <p>*1. Is a Records Management Program established in your organization?</p> <p>2. Are Standard Forms 135, Records Transmittal and Receipt, in file (FN 1g) for all transferred and retired records until no longer needed for administration or referral purposes? (Chapter 9, AR 25-400-2)</p> <p>Possible points 6: _____ deducted</p> <p>*3. Are higher echelon forms used in lieu of creating local forms for the same purpose?</p> <p>*4. Is a program established to encourage the design and use of electronically generated forms?</p> <p>5. Is the "List Selected File Numbers" prepared IAW Para 5-13, AR 25-400-2?</p> <p>Possible points 4: _____ deducted</p> <p>6. Has a copy of the list of selected file numbers been forwarded to the Records Management Office for approval? (Para 5-13, AR 25-400-2)</p> <p>Possible points 4: _____ deducted</p> <p>7. Is there a list of selected file numbers filed in front of the cabinet/drawer? (Para 5-13, AR 25-400-2)</p> <p>Possible points 4: _____ deducted</p> <p>8. Are all files guides prepared IAW Para 6-2, AR 25-400-2?</p> <p>Possible points 4: _____ deducted</p> <p>6. Do all the file cabinet drawers contain file drawer labels with an accurate description of the contents and prepared IAW 6-2g, AR 25-400-2?</p> <p>Possible points 6: _____ deducted</p> <p>9. Does each folder have a label which has the file number, file title, and disposition instructions for the file, in that sequence? (Para 6-2b, AR 25-400-2)</p> <p>Possible points 4: _____ deducted</p> <p>10. Have all disposition instructions listed on file labels been properly translated? (Para 7-3, AR 25-400-2)</p> <p>Possible points 4: _____ deducted</p> <p>11. Is material filled in folders in appropriate sequence (i.e. by date, simple number arrangement, or alphabetical arrangement)? (Para 5-9, AR 25-400-2)</p> <p>Possible points 4: _____ deducted</p>			

ITEM	GO	NO-GO
<p>12. Are files eligible for destruction destroyed in a timely manner? (Para 7-3b, AR 25-400-2) Possible points 4: _____ deducted</p> <p>13. Are functional files being maintained under the appropriate regulation? (AR 25-400-2) Possible points 4: _____ deducted</p> <p>*14. Are procedures in place to ensure software and equipment will be available to read electronic records throughout their retention period?</p> <p>15. Are subordinate units and staff offices forwarding their SF 135s to the Division Records Management Office for approval before records can be shipped? Possible points 4: _____ deducted</p> <p>*16. Is a Record Management Officer (RMO) designated, in writing, down to each staff office and subordinate unit level? Possible points 6: _____ deducted</p> <p>17. Is an Internal Records Holding Area (IRHA) established in each CFA area? Possible points 4: _____ deducted</p> <p>*18. Are annual records management surveys being conducted of staff and subordinate elements and written reports prepared? (AR 25-1) Possible points 4: _____ deducted</p> <p>19. Has the unit RMO established a program of classroom instructions, on-the-job training, or both to provide for training of personnel in RMO procedures? Possible points 4: _____ deducted</p> <p>*20. Have instructions been issued specifying the degree of protection to be afforded records stored and used electronically in accordance with classification, releasability, Freedom of Information Act, and Privacy Act?</p> <p>21. Has a Privacy Act Officer or Privacy Act Coordinator (not to be assigned below battalion level) been appointed for the battalion? (Para 1-9, AR 340-21) Possible points 4: _____ deducted</p> <p>22. Are lists of names, addresses, and phone numbers protected from disclosure IAW the Privacy Act? (AR 340-21) Possible points 4: _____ deducted</p> <p>23. Does the office which published rosters with names, addresses, and phone numbers maintain a dated and signed statement from the individual stating whether or not personal data on the roster pertaining to him/her may be released to third-parties outside DOD? (AR 340-21) Possible points 4: _____ deducted</p> <p>24. Have levels of folders containing information that is subject to the Privacy Act been stamped in capital letters, "FOR OFFICIAL USE ONLY" (FOUO) to ensure that the contents are adequately protected from disclosure and disposed of in the same manner as FOUO materials? (Para 8a-2(2)(b), USAREUR REG 340-21) Possible points 10: _____ deducted</p> <p>25. Has a copy of the order reflecting FOIA appointment been furnished to the next higher headquarters within seven days of the appointment? (Page 1, Para 1-302, a(2) USAREUR Suppl 1 to AR 25-55) Possible points 4: _____ deducted</p> <p>26. Has a copy of each case on file in the FOIA action officer's file been furnished to the next higher headquarters? (Page 1-3, Para 1-302, USAREUR Suppl 1 to AR 25-55) Possible points 4: _____ deducted</p>		

**Rated standard (Functional Area: ISSO): Records Management**

- Commendable – 90% of all items are rated GO.
- Satisfactory – 70-89% of all items rated GO.
- Unsatisfactory – 69% and below of all inspected items rated.

\* These are questions, or similar to questions, that also appear on the Management Control Program (MCP).

Inspector's comments mandatory for all "NO GO" items. (Attach additional sheets if necessary.)

**NOTES:**

VERIFICATION

X \_\_\_\_\_  
Unit POC's Signature, Name Rank, Date

X \_\_\_\_\_  
Inspector's Signature, Name Rank, Date